



DOCKET NO. MS171139.1

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Eric J. Horvitz**  
Serial No.: **09/809,142**  
Filed: **March 15, 2001**  
For: **SYSTEM AND METHOD FOR IDENTIFYING AND ESTABLISHING PREFERRED MODALITIES  
OR CHANNELS FOR COMMUNICATION BASED ON PARTICIPANTS' PREFERENCES AND  
CONTEXTS**  
Art Unit: **2153**  
Examiner: **Unknown**

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.:  
Filing Date:

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) \_\_\_\_ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) \_\_\_\_ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) \_\_\_\_ Within 3 months of the filing date or date of entry into the National Stage.
- (b) X Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.

(c) \_\_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_\_ The required certification is given below, or

(2) \_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) \_\_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) \_\_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
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By Jeffrey R. Sadlowski

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CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: 5-22-03

Jeffrey R. Sadlowski  
Jeffrey R. Sadlowski



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
		<b>Application Number</b>	09/809,142
		<b>Filing Date</b>	March 15, 2001
		<b>First Named Inventor</b>	Eric J. Horvitz
		<b>Art Unit</b>	2153
		<b>Examiner Name</b>	Unknown
<b>Attorney Docket Number</b>	MS171139.1 / MSFTP221US		
<b>Sheet</b>	1	<b>of</b>	2

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U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US- 5,615,342	3-25-97	Johnson	
		US- 5,893,075	4-6-99	Plainfield, et al.	
		US- 6,112,098	8-29-00	Flint, et al.	
		US- 6,163,683	12-19-00	Dunn, et al.	
		US- 6,167,450	12-26-00	Angwin, et al.	
		US- 6,188,905	2-13-01	Rudrapatna, et al.	
		US- 6,272,146	8-7-01	Bowater, et al.	
		US- 6,336,194	1-1-02	Dahman, et al.	
		US- 6,385,454	5-7-02	Bahl, et al.	
		US- 6,438,217	8-20-02	Huna	
		US- 6,438,603	8-20-02	Ogus	
		US- 6,463,265	10-8-02	Cohen, et al.	
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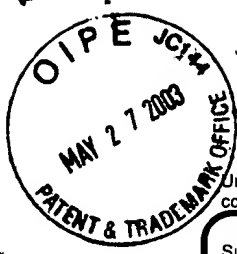
FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

<b>Examiner Signature</b>		<b>Date Considered</b>	
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<b>SUPPLEMENTAL INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Application Number</b>	09/809,142		
		<b>Filing Date</b>	March 15, 2001		
		<b>First Named Inventor</b>	Eric J. Horvitz		
		<b>Group Art Unit</b>	2153		
		<b>Examiner Name</b>	Unknown		
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		KAUSHAL KURAPATI, SRINIVAS GUTTA, DAVID SCHAFFER, JACQUELYN MARTINO, and JOHN ZIMMERMAN, "A Multi-Agent TV Recorder, Adaptive Systems Department", Philips Research Briarcliff, 2001, 8 pages	
		ERIC J. HORVITZ and ADRIAN C. KLEIN, "Utility-Based Abstraction and Categorization", Palo Alto Laboratory, Rockwell International Research, 1993, 8 pages	
		ERIC J. HORVITZ, JOHN S. BREESE and MAX HENRION, "Decision Theory in Expert Systems and Artificial Intelligence", July 1988, 38 pages	
		ERIC HORVITZ, ANDY JACOBS and DAVID HOVEL, "Attention-Sensitive Alerting", Microsoft Research, July 1999, 10 pages	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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